

M E M O R A N D U M

TO: PERSONNEL MANAGEMENT LIAISONS **DATE:** March 20, 2003
REFERENCE CODE: 2003-014

THIS MEMORANDUM SHOULD BE DISTRIBUTED TO:

Employee Relations Officers
Personnel Officers
Training Officers
Ethics Officers
Statement of Economic Interest Filing Officers

FROM: Department of Personnel Administration
Policy and Operations Division

SUBJECT: Ethics Orientation Training for Filers of Statements of
Economic Interest

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Effective January 1, 2003, all officers, employees, and consultants who are required to file a Form 700 Statement of Economic Interests must complete an orientation training course on ethics every two years. This requirement is the result of Assembly Bill 3022, which revised Sections 11146(b) and 11146.3 of the Government Code (GC). Every State office, department, division, bureau, board, and commission in the Executive Branch is subject to these sections. The Legislative Branch is subject to its own requirements under a 1990 law.

LAW CHANGES

GC Section 11146(b) now defines a "filer" as each member, officer, or designated employee of a State department who is required to file a statement of economic interests under either GC Section 87200 or Section 87300 et seq.

GC Section 11146.3 requires all filers who held positions on January 1, 2003, to complete the ethics training by December 31, 2003. This includes filers who have previously taken the training. All filers must retake the

training at least once during each subsequent two-year period starting on January 1, 2005.

Any person who becomes a filer after January 1, 2003, must take the training within six months and must retake the training at least once during each two-year period starting on the first odd-numbered year thereafter.

TRAINING COURSE CONTENT AND DELIVERY

Since 1999, departments have been required to provide ethics training. AB 3022 increases the number of employees who must take the training. There are two components to the required ethics training: core training and department-specific training. The core training includes laws, regulations, policies, and issues that are applicable to all filers. Department-specific training includes the department's conflict of interest statement and any other laws, regulations, or policies that are applicable only to filers within that department.

Some departments provide the complete training for their filers. Other departments provide only the department-specific training and supplement it with the core ethics training provided by the Attorney General's (AG) Office. The AG's core ethics training course is available in four formats:

1. An online interactive format is available at <http://caag.state.ca.us/ethics/> (click on "Interactive Course"). This format requires a Windows computer operating system. The training takes approximately two hours to complete. After completing the course, the trainee can print a Certificate of Completion to meet the record-keeping requirements (see below).
2. The interactive format is also available on a CD-ROM for use in group-teaching settings. This format is useful when either the department's computer operating system or individual computers do not support the online interactive format. Departments can obtain a copy of the CD-ROM from the AG's Office, Public Inquiry Unit, P.O. Box 944255, Sacramento, CA 94244-2550, (800) 952-5225.
3. A noninteractive text-based format is available at <http://caag.state.ca.us/ethics/> (click on "Non-Interactive Accessible Course"). This format is useful when a filer's computer operating system does not support the interactive software, and for persons who cannot use a computer mouse.

4. A video-based format for use in either individual or group-teaching settings. The Department of Personnel Administration distributed copies of the video to all departments in 1999. An errata sheet updating the original video is available at <http://caag.state.ca.us/ethics/> (click on "Video Tape"). Agencies may obtain a copy of the video from the AG's Office, Public Inquiry Unit, P.O. Box 944255, Sacramento, CA 94244-2550, (800) 952-5225. There is a video-captioned edition for those who are hearing impaired.

USE OF INTERACTIVE COMPUTER-BASED TRAINING SITE

Approximately 40,000 State agency filers must complete this training by December 31, 2003. The responsibility for timely completion of the course lies with each department and each filer. Many filers will be able to complete the core training using the online interactive format described above. This training is available 24 hours per day, 7 days per week. Filers can take the training at any time. However, to reduce the risk of overloading the computer system, the AG's Office has requested that departments encourage their filers to take the training during the applicable month identified on the attached calendar.

The training software was designed for use with Windows 95 or Windows 98 operating systems. Consequently, it may not work well if you are using Windows XP, Windows 2000, or other operating systems. If the online interactive format does not work well on your employees' operating systems, consider using the noninteractive or CD-ROM formats described above.

TRAINING RECORDS

Departments must keep records of which employees attend the training, each attendee's job title, and the dates of their attendance. Keep records for both the core training and the department-specific training; note if both are provided in one session. Records must be retained for five years. Filers who complete the AG's core ethics training course can print out a Certificate of Completion to file with their department.

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QUESTIONS ON ETHICS TRAINING

Questions from filers regarding ethics training and course content should be directed to their department's ethics officer, filing officer, or other designated person. Questions from departments (not individual filers) should be directed to AG's Office at (800) 952-5225.

Bob Painter, Chief
Policy and Operations Division

SCHEDULE FOR USING THE ONLINE INTERACTIVE

ETHICS TRAINING

PROVIDED BY THE ATTORNEY GENERAL'S OFFICE AT

<http://caag.state.ca.us/ethics/>

Departments not listed should attend training November and December 2003

DEPARTMENT	TRAINING MONTH
Aging	Sept.
Agricultural Labor Relations Board	June
Air Resources Board	June
Alcohol & Drug Program	Sept.
Alcoholic Beverage Control	June
Boating & Waterways	Oct.
Child Support Services	July
Coastal Commission	Oct.
Community Colleges	May
Compensation Insurance Fund	Sept.
Conservation	Oct.
Conservation Corps	Oct.
Consumer Affairs	July
Controller's Office	May
Corporations	June
Corrections	June
Criminal Justice Planning	July
Developmental Services	Sept.
Education	May
Emergency Services	July
Employment Development	August
Energy Commission	Oct.
Environmental Health Hazard Assessment	June
Environmental Protection Agency	June
Equalization Board	May
Exposition & State Fair	May
Fair Employment & Housing	July
Fair Political Practices Commission	June
Finance	May
Financial Institutions	June
Fish & Game	Oct.
Food & Agriculture	May
Forestry & Fire Protection	Oct.
Franchise Tax Board	Oct.
General Services	July
Health & Human Services Agency	August
Health & Human Services Data Center	August
Health Planning & Development	August
Health Services	April
Highway Patrol	Sept.
Horse Racing Board	May
Housing & Community Development	July

DEPARTMENT	TRAINING MONTH
Housing Finance Agency	July
Industrial Relations	Sept.
Insurance	July
Integrated Waste Management Board	June
Justice	April
Lands Commission	June
Legislative Counsel	Oct.
Library	June
Lottery Commission	Sept.
Managed Health Care	August
Managed Risk Medical Insurance Board	August
Mental Health	August
Motor Vehicles	August
Parks & Recreation	Oct.
Peace Officer Standards & Training Commission	June
Personnel Administration	July
Personnel Board	July
Pesticide Regulation	June
Postsecondary Education Commission	July
Prison Terms Board	June
Public Defender's Office	May
Public Employees Retirement System	July
Public Utilities Commission	June
Real Estate	August
Rehabilitation	August
Secretary of State's Office	June
Social Services	Sept.
Stephen P. Teale Data Center	June
Student Aid Commission	May
Teacher's Credentialing Commission	May
Teacher's Retirement System	July
Toxic Substances Control	Sept.
Trade and Commerce Agency	May
Transportation	April
Treasurer's Office	May
Veterans Affairs	July
Victim Compensation & Government Claims Board	July
Water Resources	Oct.
Water Resources Control Board	June
Youth Authority	June